

Rec'd PTO 14 JUN 2005

PTO/SB/01 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

Declaration  
Submitted  
With Initial  
Filing

OR

Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)

Attorney Docket Number

38102-76017

First Named Inventor

TODA, Masahiro

COMPLETE IF KNOWN

Application Number

Filing Date

Art Unit

Examiner Name

## I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHOD FOR INDUCING PROLIFERATION OF NEURAL STEM CELLS

(Title of the Invention)

the specification of which



is attached hereto

OR



was filed on (MM/DD/YYYY)

03/27/2003

as United States Application Number or PCT International

Application Number

PCT/JP03/03868

and was amended on (MM/DD/YYYY)

N/A

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
✓ 2002-89624	JP	03/27/2002	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Priority Document received by WIPO			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

[Page 1 of 2]

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Rec'd T/PTO 14 JUN 2005

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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## DECLARATION — Utility or Design Patent Application

Direct all correspondence to: ☒ Customer Number: 23643 OR ☐ Correspondence address below

Name

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR:

☐ A petition has been filed for this unsigned inventor

Given Name (first and middle [if any])

Family Name or Surname

Masahiro

TODA

Inventor's  
Signature

Date

Oct 29/04

Residence: City

State

Country

Citizenship

Kanagawa

Japan JPX

JAPAN

Mailing Address

Keio University School of Medicine, 35, Shinanomachi, Shinjuku-ku

City

State

ZIP

Country

Tokyo

160-8582

JAPAN

NAME OF SECOND INVENTOR:

☐ A petition has been filed for this unsigned inventor

Given Name (first and middle [if any])

Family Name or Surname

Hideyuki

OKANO

Inventor's  
Signature

Date

Nov. 15/04

Residence: City

State

Country

Citizenship

Tokyo

Japan JPX

JAPAN

Mailing Address

Keio University School of Medicine, 35, Shinanomachi, Shinjuku-ku

City

State

ZIP

Country

Tokyo

160-8582

JAPAN



Additional inventors or a legal representative are being named on the 2 supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.

**DECLARATION****ADDITIONAL INVENTOR(S)**  
Supplemental SheetPage 1 of 2

<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
<u>Yutaka</u>		<u>KAWAKAMI</u>	
Inventor's Signature <u>Yutaka Kawakami</u>		Date <u>Oct 29 2004</u>	
Residence: City <u>Kanagawa</u>	State <u>JPX</u>	Country <u>Japan</u>	JAPAN Citizenship
Keio University School of Medicine, 35, Shinanomachi, Shinjuku-ku			
Mailing Address			
Mailing Address			
Tokyo City	State	160-8582 Zip	JAPAN Country
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
<u>Yoshiaki</u>		<u>TOYAMA</u>	
Inventor's Signature <u>Yoshiaki Toyama</u>		Date <u>Nov. 19. 2004</u>	
Residence: City <u>Tokyo</u>	State <u>JPX</u>	Country <u>Japan</u>	JAPAN Citizenship
Keio University School of Medicine, 35, Shinanomachi, Shinjuku-ku			
Mailing Address			
Mailing Address			
Tokyo City	State	160-8582 Zip	JAPAN Country
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
<u>Yuji</u>		<u>MIKAMI</u>	
Inventor's Signature <u>Yuji Mikami</u>		Date <u>Nov. 25. 2004</u>	
Residence: City <u>Tokyo</u>	State <u>JPX</u>	Country <u>Japan</u>	JAPAN Citizenship
Keio University School of Medicine, 35, Shinanomachi, Shinjuku-ku			
Mailing Address			
Mailing Address			
Tokyo City	State	160-8582 Zip	JAPAN Country

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

**DECLARATION****ADDITIONAL INVENTOR(S)**  
Supplemental SheetPage 2 of 2

<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Masanori		SAKAGUCHI	
Inventor's Signature <i>Masanori Sakaguchi</i>		Date <i>11/15 2004</i>	
Residence: City <i>Tokyo</i>	State <i>JPX</i>	Country <i>Japn</i>	JAPAN Citizenship
Keio University School of Medicine, 35, Shinanomachi, Shinjuku-ku			
Mailing Address			
Mailing Address			
Tokyo City	State	160-8582 Zip	JAPAN Country
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
Tokyo City	State	Zip	Country
<b>Name of Additional Joint Inventor, if any:</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City	State	Country	Citizenship
Mailing Address			
Mailing Address			
City	State	Zip	Country

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/80 (09-04)

Approved for use through 11/30/2005. OMB 0651-0035

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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**POWER OF ATTORNEY TO PROSECUTE APPLICATIONS BEFORE THE USPTO**

I hereby appoint:



Practitioners associated with the Customer Number

23643

OR



Practitioner(s) named below (if more than ten patent practitioners are to be named, then a customer number must be used):

Name	Registration Number

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

Assignee Name and Address:

INSTITUTE OF GENE AND BRAIN SCIENCE  
10-10-202, Daikyo-cho  
Shinjuku-ku, TOKYO 160-0015  
JAPAN

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.

**SIGNATURE of Assignee of Record**

The individual whose signature and title is supplied below is authorized to act on behalf of the assignee

Signature	<i>Hirotsugu Watabe</i>	Date	<i>Nov. 30. '04</i>
Name	Hirotsugu WATABE	Telephone	81-3-5363-4206
Title	Director		

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

14 JUN 2005

PTO/SB/96 (06-04)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: TODA, Masahiro; OKANO, Hideyuki; KAWAKAMI, Yutaka; TOYAMA, Yoshiaki; MIKAMI, Yuji et al.Application No./Patent No.: 10/509,529 Filed/Issue Date: \_\_\_\_\_Entitled: METHOD FOR INDUCING PROLIFERATION OF NEURAL STEM CELLSINSTITUTE OF GENE AND BRAIN SCIENCE, a \_\_\_\_\_

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or2. ☐ an assignee of less than the entire right, title and interest.

The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.**OR**B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

14 June 2005 \_\_\_\_\_

Date

(317) 236-1313 \_\_\_\_\_

Telephone number

Richard D. CONARD \_\_\_\_\_

Typed or printed name

Richard D. Conard \_\_\_\_\_

Signature

Attorney \_\_\_\_\_

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

ASSIGNMENT TO BUSINESS CORPORATION

Attorney Docket No.: -76017

Client Reference No.: PCT/803/SS

## ASSIGNMENT

This Copy Is Provided For

37 CFR 3.73 (b)

Purposes Only--DO NOT RECORD

In consideration of the sum of One Dollar (\$1.00) and other good and valuable consideration paid to each of the undersigned,

Name(s)  
of Inventor(s)

Masahiro TODA,Hideyuki OKANO,Yutaka KAWAKAMI,Yoshiaki TOYAMA,Yuji MIKAMI, andMasanori SAKAGUCHI

maker(s) of an invention which is the subject of an application for Letters Patent of the United States ("Application") entitled

Title of  
Application

METHOD FOR INDUCING PROLIFERATION OF NEURAL STEM CELLS

the undersigned hereby sell(s), assign(s), and set(s) over to

Name of  
Assignee

INSTITUTE OF GENE AND BRAIN SCIENCE10-10-202, Daikyo-cho

Address of  
principal  
place of  
business

Shinjuku-ku, Tokyo 160-0015JAPAN

Insert State of  
Incorporation  
(if applicable) or  
"Not Applicable"

a corporation of JAPAN

(hereinafter designated as the Assignee) their entire right, title, and interest in, to, and under the Application, including all priority rights for other countries arising therefrom, all inventions therein disclosed, and any and all Letters Patent of the United States and of all other countries, including Canada, which may be granted for such inventions, or any of them, all such inventions and all rights in such Application and Letters Patent to be held and enjoyed by Assignee for its own use and enjoyment to the full end of the term or terms for which such Letters Patent may be granted, as fully and entirely as the same would have been held and enjoyed by them had this assignment and sale not been made.

The undersigned agree(s) to execute all papers necessary in connection with the application(s) in the United States and foreign countries and any continuing, divisional, or reissue applications thereof, and any reexamination of any of such applications, and also to execute separate assignments in connection with such applications as the Assignee may deem necessary or expedient.

The undersigned agree(s) to execute all papers necessary in connection with any interference which may be declared or litigation concerning the application(s) or continuation, division, reissue, or reexamination thereof, and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference or litigation.

The undersigned agree(s) to execute all papers and documents and perform any act which may be necessary in connection with claims or provisions of the International Convention for Protection of Industrial Property or similar agreements.

# ASSIGNMENT TO BUSINESS COMPANY

The undersigned agree(s) to do all other acts which, in the opinion of Assignee, may be necessary or desirable to secure the grant of Letters Patent to Assignee or its nominees, in the United States and in all other countries where Assignee may desire to have such inventions, or any of them, patented, with specifications and claims in such form as shall be approved by Assignee and to vest and confirm in Assignee or its nominees the full and complete legal and equitable title to all such Letters Patent.

The undersigned hereby authorize(s) and request(s) the Commissioner of Patents to issue any and all Letters Patent of the United States resulting from said application(s) or any division or divisions or continuing or reissue applications thereof, and any reexamination of any of such applications, to the said Assignee, as Assignee of the entire interest, and hereby covenants that the undersigned has full right to convey the interest herein assigned, and that the undersigned has not executed, and will not execute, any agreement in conflict herewith.

The undersigned hereby grant(s) the attorney of record the power to insert on this assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

**This Copy Is Provided For  
37 CFR 3.73 (b)  
Purposes Only--DO NOT RECORD**

IN WITNESS WHEREOF, I have executed this assignment at Tokyo, Japan,  
this 29th day of October, 2004.

Outside the USA: Kazutoshi Takahashi  
Witness  
Witnesses are required when acknowledgment before a Notary Public is not feasible.  
Yasushi Suzuki  
Witness

[Signature] Oct 29/04  
Inventor (Signature)  
Masahiro TODA  
Inventor (Printed Name)

IN WITNESS WHEREOF, I have executed this assignment at Tokyo, Japan,  
this 15th day of November, 2004.

Outside the USA: Kazutoshi Takahashi  
Witness  
Witnesses are required when acknowledgment before a Notary Public is not feasible.  
Yasushi Suzuki  
Witness

[Signature] Nov 15/04  
Inventor (Signature)  
Hideyuki OKANO  
Inventor (Printed Name)

IN WITNESS WHEREOF, I have executed this assignment at Tokyo, Japan,  
this 29th day of October, 2004.

Outside the USA: Kazutoshi Takahashi  
Witness  
Witnesses are required when acknowledgment before a Notary Public is not feasible.  
Yasushi Suzuki  
Witness

[Signature] Oct 29, 2004  
Inventor (Signature)  
Yutaka KAWAKAMI  
Inventor (Printed Name)



IN WITNESS WHEREOF, I have executed this assignment at Tokyo, Japan,  
this 19th day of November, 2004.

Outside the USA:  
Witnesses are  
required when  
acknowledgment  
before a Notary  
Public is not  
feasible.

Kazutoshi Takahashi  
Witness

Yasushi Suzuki  
Witness

Yoshiaki TOYAMA Nov. 19, 2004  
Inventor (Signature)

Yoshiaki TOYAMA  
Inventor (Printed Name)

IN WITNESS WHEREOF, I have executed this assignment at Tokyo, Japan,  
this 25th day of November, 2004.

Outside the USA:  
Witnesses are  
required when  
acknowledgment  
before a Notary  
Public is not  
feasible.

Kazutoshi Takahashi  
Witness

Yasushi Suzuki  
Witness

Yuji MIKAMI Nov. 25, 2004  
Inventor (Signature)

Yuji MIKAMI  
Inventor (Printed Name)

IN WITNESS WHEREOF, I have executed this assignment at Tokyo, Japan,  
this 15th day of November, 2004. 11/15/2004

Outside the USA:  
Witnesses are  
required when  
acknowledgment  
before a Notary  
Public is not  
feasible.

Kazutoshi Takahashi  
Witness

Yasushi Suzuki  
Witness

Masanori SAKAGUCHI  
Inventor (Signature)

Masanori SAKAGUCHI  
Inventor (Printed Name)

U.S. Application Serial No. 10/509,529